

DOCKET NO. MC1-8345

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: Andrew Mark Shaw  
Serial No.:  
Filed: herewith  
For: *Functionalised Surface Sensing Apparatus and Methods*  
Art Unit:  
Examiner:

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed foreign patent document and other publication is enclosed. No U.S. Patents nor any published U.S. Patent Applications are enclosed.

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) \_\_\_\_\_ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) \_\_\_\_\_ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) ☒ Within 3 months of the filing date or date of entry into the National Stage.
- (b) \_\_\_\_\_ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 20-0090 for consideration of this Statement.

(c) \_\_\_\_\_ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) \_\_\_\_\_ The required certification is given below, or

(2) \_\_\_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or

(3) \_\_\_\_\_ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 20-0090.

(d) \_\_\_\_\_ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) \_\_\_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

(2) \_\_\_\_\_ Charge the fee set forth in 37 C.F.R. 1.17(i)(1) to Deposit Account No. 20-0090.

4. Certification (if applicable)

(a) \_\_\_\_\_ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) \_\_\_\_\_ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 20-0090.

Respectfully Submitted,

TAROLLI, SUNDHEIM, COVELL, & TUMMINO L.L.P.

By: \_\_\_\_\_

Christopher P. Harris  
Reg. No. 43,660

CUSTOMER NUMBER: 26294

TAROLLI, SUNDHEIM, COVELL & TUMMINO LLP  
1300 East Ninth Street, Suite 1700  
Cleveland, Ohio 44114  
(216) 621.2234

10/593105  
IAP9/Rec'd PCT/PTO 15 SEP 2006

PTO/SB/08A (07-05)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	
				Filing Date	Herewith
				First Named Inventor	Andrew Mark Shaw
				Art Unit	
Examiner Name					
Sheet	1	of	1	Attorney Docket Number	MC1-8345

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (If Known)	Publication Date MM-DD-YYYY	Name Of Patentee Or Applicant Of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear
		US-2002/122179 A1	09-05-2002	Pipino, Andrew C.R. et al.	Figs. 2,3
		US-5,514,596 A	05-07-1996	King, et al.	Figs. 1,3
		US-5,986,768 A	11-16-1999	Pipino, et al.	Figs. 1,2
		US-4,857,273 A	08-15-1989	Stewart, et al.	Figs. 1,2

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country Code-Number-Kind Code (If Known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		EP 1 195 582 A	04-10-2002	Eidgenoessische Technische Hochschule Zuerich	Figs. 1-10	
		WO 91/06862 A	05-16-1991	Fisons PLC	Figs. 1-3	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		International Search Report for corres. PCT/GB2005/050034 completed May 25, 2005 by W. Mason, of the EPO	
		AIROLA M B ET AL: <i>Resonant Cavity Optical Biosensors for the Detection of Nucleic Acid Hybridization</i> ; Proceedings of the SPIE-The International Society for Optical engineering SPIE-INT. SOC. OPT. ENG USA, vol. 4625, 2002, pages 29-37, XP002329505 ISSN: 0277-786X; Figs. 1,4	
		PIPINO A C R: <i>Monolithic Folded Resonator for Evanescent Wave Cavity Ringdown Spectroscopy</i> ; Applied Optics, Optical Society of America, Washington, US vol. 39, no. 9, 20 March 2000, pages 1449-1453, XP000940122, ISSN: 0003-6935; Fig. 1	

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.